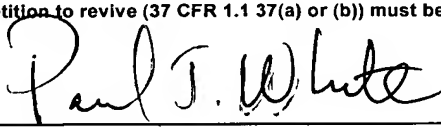


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| | | |
|--|---|---|
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A SUBMISSION UNDER 36 U.S.C. 371 | | ATTORNEY'S DOCKET NUMBER NREL 01-09 U.S. APPLICATION NO. (if known), see 37 CFR 1.5) 10/532540 |
| INTERNATIONAL APPLICATION NO. PCT/US02/34861 | INTERNATIONAL FILING DATE 29 October 2002 | PRIORITY DATE CLAIMED |
| TITLE OF INVENTION NANOSTRUCTURES PRODUCED BY PHASE-SEPARATION DURING GROWTH OF (III-V)1-X(IV2)X ALLOYS | | |
| APPLICANT(S) FOR DO/EO/US ANDREW G. NORMAN AND JERRY M. OLSON | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | |
| 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a submission under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371. 3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. 4. <input type="checkbox"/> The US has been elected (Article 31). 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> has been communicated by the International Bureau. c. <input checked="" type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US). 6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)). a. <input type="checkbox"/> is attached hereto. b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3)) a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau). b. <input type="checkbox"/> have been communicated by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). 10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). Items 11 to 20 below concern document(s) or information included: 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. 12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. <input type="checkbox"/> A preliminary amendment. 14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76. 15. <input type="checkbox"/> A substitute specification. 16. <input type="checkbox"/> A power of attorney and/or change of address letter. 17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825. 18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4). 19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 20. <input checked="" type="checkbox"/> Other items or information: Postcard receipt, Certificate of Mailing 1.10 | | |

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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|---|--------------|---|------------|--------------------------|-----------------|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5) | | INTERNATIONAL APPLICATION NO. | | ATTORNEY'S DOCKET NUMBER | |
| 10/532540 | | PCT/US02/34861 | | NREL 01-09 | |
| 21. The following fees are submitted: | | | | Applicant use | Office use only |
| <input checked="" type="checkbox"/> a) Basic national fee..... \$300.00 | | | | \$ 300.00 | |
| <input checked="" type="checkbox"/> b) Examination fee..... \$200.00 | | | | \$ 200.00 | |
| <input checked="" type="checkbox"/> c) Search fee..... \$500.00 | | | | \$ 500.00 | |
| TOTAL OF ABOVE CALCULATIONS = \$1000.00 | | | | \$ 1000.00 | |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. | | | | | |
| Total Sheets | Extra sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE | | |
| - 100 = | /50 = | | x \$250.00 | \$ 0 | |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | \$ | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | \$ | |
| Total claims | 35 - 20 = | 15 | x \$50.00 | \$ 750.00 | |
| Independent claims | 2 - 3 = | 08 November 2001 | x \$200.00 | \$ 800.00 | |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + \$360.00 | \$ | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$ 2550.00 | |
| <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. | | | | \$ 1275.00 | |
| SUBTOTAL= | | | | \$ 1275.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | \$ | |
| TOTAL NATIONAL FEE = | | | | \$ 1275.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property | | | | \$ 40.00 | |
| TOTAL FEES ENCLOSED = | | | | \$ 1315.00 | |
| Amount to be refunded: | | | | | \$ |
| Amount to be charged | | | | | \$ |
| <p>a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.</p> <p>b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>14-0460</u> in the amount of \$ <u>1315.00</u> to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>14-0460</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p> | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.1 37(a) or (b)) must be filed and granted to restore the International Application to pending status. | | | | | |
| SEND ALL CORRESPONDENCE TO: | | | | | |
| Paul J. White NREL 1617 Cole Blvd. Golden, CO 80401 | | | | | |
| SIGNATURE  PAUL J. WHITE NAME 30,436 REGISTRATION NUMBER | | | | | |

4-25-03

10/532540

JC13 Rec'd PCT/PTO 22 APR 2005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Andrew G. Norman et al.) Art Unit: Not Yet Accorded
Serial No.: Not Yet Accorded) Examiner: Not Yet Accorded
Filed: Not Yet Accorded)
Title: Nanostructures Produced by Phase-) Atty. Dkt. No.: 01-09
Separation During Growth of)
(III-V)_{1-x}(IV₂)_x Alloys)

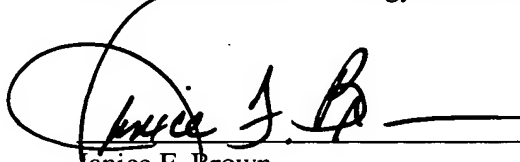
CERTIFICATE OF MAILING UNDER 37 CFR § 1.10Express Mail Mailing Label No. ER109429979 USDate of Deposit 21 April 2005

I hereby certify that the following attached items:

- 1) Transmittal Letter under 36 USC 371 [2 pgs]
- 2) Recordation Form Cover Sheet & Assignment [3 pgs]
- 3) Copy of Declaration (PCT Request) [2 pgs]
- 4) Information Disclosure Statement [2 pgs] + cited references
- 5) Postcard Receipt

are being deposited in the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and addressed to the Commissioner for Patents, U.S. Patent & Trademark Office, P.O. Box 1450, MS/Patent Application, Alexandria, VA 22313-1450.

National Renewable Energy Laboratory


Janice F. Brown
Patent Administrator

1617 Cole Boulevard
Golden, CO 80401
303/384-7576
303/384-7499 (fax)

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